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GUIDELINE TRANSMITTAL SHEET

GUIDELINE NUMBER NPS - 34	TITLE Reapportionment, Letter of Credit LOC-TFCS, OPSP and State Reporting Guideline Updates LAND AND WATER CONSERVATION FUND MANUAL	RELEASE NO. 143
OFFICE OF ORIGIN Recreation Grants Division (775)		AMENDMENT NO.
		DATE July 24, 1985

Explanation of material transmitted:

Chapter 600.1 Attachment A updates Regional addresses, States, and Washington addresses.

Chapter 600.3 paragraph 7. is being revised to reflect the Director's policy memorandum of March 15, 1984, regarding reapportionment funds.

Chapter 600.4.7, 600.5., and 600.6.2. are updated to add the Commonwealth of the Northern Mariana Islands.

Chapter 600.7. is revised and updated to provide technical clarifications of State reporting requirements under Section 6(f)(7) of the Land & Water Conservation Fund Act.

Chapter 660.4. is revised to update current program policies and procedures for State use of open project selection processes.

Chapter 675.6 is being revised to comply with the Department of the Treasury Bulletin No. 84-15 requiring the conversion of all letter of credit activity to electronic funds transfer and the resulting phase out of the Letter of Credit - Federal Reserve Banks and Letter of Credit - Treasury Regional Disbursing Office systems.

The above changes clarify and update the Manual to properly reflect current L&WCF policy. They do not represent a new approach to administration of the L&WCF program.

PUBLIC DOCUMENTS
DEPOSITORY ITEM

Page ChangesRemove Old Pages

SEP 2 1985

Chapter 600.1, Attachment A
Chapter 600.3, pages 1 and 2
Chapter 600.4, page 3
Chapter 600.5, pages 3 and 4
Chapter 600.6, pages 1 and 2
Chapter 600.7, pages 1,2 and 3
Chapter 660.4, pages 1,2 and 3
Chapter 675.6, pages 1,2,3,4,
5, and 6
Chapter 675.6, Attachment C and
E, all pages

Insert New Pages

Chapter 600.1, Attachment A
Chapter 600.3, pages 1 and 2
Chapter 600.4, page 3
Chapter 600.5, pages 3 and 4
Chapter 600.6, pages 1 and 2
Chapter 600.7, pages 1,2 and 3
Chapter 660.4, pages 1,2 and 3
Chapter 675.6, pages 1,2,3,4,
5,6 and 7
Chapter 675.6, Attachments
C,C-1,E,E-1 and G

Acting

Russell E. Olsen
Assistant Director, Personnel & Administrative Services

Keep this and all future transmittal sheets in the front of the guideline.

National Park Service Offices
with Responsibility for L&WCF Grants

<u>REGION</u>	<u>OFFICE ADDRESS</u>	<u>STATES</u>
Mid-Atlantic	Regional Director, NPS 143 S. 3rd Street Philadelphia, PA 19106 215-597-7995	CT, DC, DE, MA, MD, ME, NH, NJ, NY, PA, RI, VA, VT, WV
Southeast	Regional Director, NPS 75 Spring Street, 10th Fl. Atlanta, GA 30303 404-221-2608	AL, FL, GA, KY, MS, NC, PR, SC, TN, VI
Mid-West	Regional Director, NPS 1709 Jackson Street Omaha, NE 68102 402-221-3431 or 221-3201	IA, IL, IN, KS, MI, MN, MO, NE, OH, WI
Southwest	Regional Director, NPS P.O. Box 728 Santa Fe, NM 87501 505-988-6815	AR, LA, NM, OK, TX
Rocky Mountain	Regional Director, NPS P.O. Box 25287 Denver, CO 80225 303-236-8700	CO, MT, ND, SD, UT, WY
Pacific Northwest	Regional Director, NPS 2001 Sixth Ave., Rm. 1810 Seattle, WA 98121 206-442-4720	ID, OR, WA
Western	Regional Director, NPS 450 Golden Gate Avenue Box 36063 San Francisco, CA 94102 415-556-8360	AS, AZ, CA, GU, HI, NV, CM
Alaska	Regional Director, NPS 2525 Gambell Street, Rm. 107 Anchorage, AK 99503 907-271-4334	AK

Washington D.C. Offices

Recreation Grants (775)	Finance Division (310)
U.S. Department of the Interior	U.S. Department of the Interior
NPS	NPS
P.O. Box 37127	P.O. Box 37127
Washington, D.C. 20013-7127	Washington, D.C. 20013-7127

STATE APPORTIONMENT FORMULA

1. Apportionment Percentage to States. The Act creates a Fund consisting of certain earmarked revenues from which the Congress may annually appropriate money for public outdoor recreation purposes. As provided in the annual appropriation act, funds shall be made available for State and Federal purposes with not less than 40 percent appropriated for Federal purposes.
2. The Amount Apportioned is Essentially a Reserve. Apportionment of funds to the States does not confer absolute entitlement to such funds. The apportionment is evidence of a commitment by the Federal Government to withhold from other uses a specified amount for a State for a given period of time. The amounts apportioned are subject to Office of Management and Budget quarterly apportionments to the Land and Water Conservation Fund (L&WCF) monies which set legal limits on the amounts which can be obligated each fiscal quarter for all purposes under the L&WCF. To receive apportioned funds, the States must (a) prepare and maintain a comprehensive statewide outdoor recreation plan that has been found by the Service to be adequate for the purposes of the Act; (b) submit and receive approval of projects requiring the use of apportioned funds; and (c) request the Federal Government to obligate apportioned funds for use on approved projects.
3. Basis for Apportionment. Apportionment of the appropriation is made by the Secretary in accord with the legislative mandate states in Section 6(b) of the L&WCF Act. The amount apportioned to each State is the amount of new authority for obligation each State will have in the fiscal year unless Congress or the President decides later to defer or rescind some portion of the amount.
4. Notice of Apportionment. The Secretary will notify each State of its apportionment following an appropriation of funds by the Congress.
5. Reports on Status of States Apportionment. The Service will notify each State periodically, of the status of each fiscal year's apportionment. This financial report shall include for each fiscal year: the total amount of current apportionments (including adjustments), the total obligations, and the total expenditures. The report will also notify the State of the balance remaining available in each apportionment. The State is expected to maintain its own accounting records on the status of apportionments.
6. Life of State Apportionments. The funds apportioned to a State will remain available for obligation during the fiscal year in which notification is given and for two fiscal years thereafter. Any portion of an apportionment that remains unobligated at the expiration of this 3-year period shall revert to the Secretary for reapportionment among the several States on the basis of need as determined by the Secretary.

7. Disposition of Unexpended Balances of Obligated Funds. Funds obligated for an approved project will remain available for expenditure by the project sponsor until the project is completed or terminated. All projects should be completed within 5 years (see 660.2.7.B.). When the total project expenditures are less than the obligated amount and the 3-year period for obligation has expired (see 600.3.6.), the unexpended balance will revert to a special account which may be reapportioned to the State. This special account, containing previously apportioned but unexpended funds, does not confer entitlement to such funds by the State (see 600.3.2.). The special account policy was established to allow States the opportunity to utilize monies saved from good management of the program (projects completed for less-than-anticipated funds), and in 1981 the special account was revised to include all deobligated monies with no restrictions as to whether or not deobligation occurred within or after the 3-year period of availability. The Secretary, may, at his/her discretion reapportion such unexpended balances back to the respective State from which it came on the basis of need. The determination of need for each State will reflect the efficient management of their obligations and outlays, the demand for additional funding, and satisfactory compliance with all L&WCF program requirements.

The procedure for the issuance of a Certificate of Reapportionment will include a review of each State's request for reapportionment funds available. The State's identification and justification of need, their obligation and outlay rate, and compliance with all program requirements will be considered in the review. The authority to review and approve each State request for reapportionment has been delegated to the Chief, Recreation Grants Division, Washington Office. Upon approval, Regional Directors are authorized to issue the Certificate of Reapportionment. Any funds not so reapportioned back to a State within six months from the end of the fiscal year in which the reapportionment funds become available will revert to the Secretary's Contingency Reserve Fund.

7. Contingency Reserve Assistance to Insular Areas. Although the eligible Insular Areas (in the Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands) may receive up to 100 percent assistance from their regular L&WCF account, the Secretary reserves the right to require up to 50 percent matching funds for grants awarded from the Contingency Reserve. This reservation will be applied on a project by project basis.

services, equipment, and materials, as opposed to development by contract with an outside organization or individual.

FUND: The Land and Water Conservation Fund (L&WCF)-the financial resource created and maintained through authority and operation of the Act.

GENERAL PROVISIONS: The special terms of the Project Agreement (see Attachment 660.3B).

GRANT: The act of providing a specific sum of money toward the execution of a specific project, consistent with the terms of a signed agreement. Also the amount of money provided.

GRANTEE: See participant.

GRANT CLOSEOUT: The process by which the Service determines that all applicable administrative actions and all required work of the project have been completed.

HCRS: The Heritage Conservation and Recreation Service - the agency of the Department of Interior which administered the L&WCF program from 1978 to 1981 when the program was transferred to NPS.

INDIAN TRIBE: Indian tribes, bands, nations or other organized group which exercises governmental functions and which is recognized by the Secretary of the Interior as eligible for the special programs and services provided by the United States to Indians because of their status.

INDIRECT COSTS: Those costs related to the operation of the State's grants program but which, because of their incurrence for common or joint objectives, are not specifically identified with individual projects (see OMB Circular A-87, formerly FMC. 74-4).

IN-KIND CONTRIBUTIONS: In-kind contributions represent the value of noncash contributions provided by (1) the grantee; (2) other public agencies and institutions; and (3) private organizations and individuals. In-kind contributions may consist of the value of services directly benefiting and specifically identifiable to the project.

INSULAR AREAS: The Virgin Islands, Guam, American Samoa, The Trust Territory of the Pacific Islands, and the Commonwealth of the Northern Mariana Islands. (Note that only the Virgin Islands, Guam, American Samoa and the Commonwealth of the Northern Mariana Islands are eligible for L&WCF assistance.)

LETTER OF CREDIT: An instrument certified by an authorized official of a grantor agency which authorizes a grantee to draw funds needed for immediate disbursement in accord with the provisions of Treasury Circular No. 1075. LOC-TFCS refers to the Letter of Credit Treasury Financial Communications System or electronic transfer of funds.

MAJOR CONSTRUCTION: Construction work with a total cost of \$100,000 or more including any complex of structures or group of interrelated or appurtenant facilities.

MARKET VALUE: As determined by competent appraisal or court decision, the highest price which the property could reasonably be expected to bring if exposed for sale in the open market for a reasonable time, unaffected by the project, taking into consideration all lawful uses to which such property is adapted and could reasonably be put.

NATIONAL REGISTER: The National Register of Historic Places.

NPS: The National Park Service.

OBLIGATIONS: Obligations are the amounts of orders placed, contracts and grants awarded, services received, and similar transactions during a given period, which will require payment during the same or a future period.

OUTLAYS: Outlays represent charges made to the grant project. Outlays can be reported on a cash or accrued expenditure basis.

PARCEL: A piece of land, regardless of size, in one ownership (title).

PARTICIPANT: The State agency or other public agency receiving Fund assistance. Also referred to as the grantee or project sponsor.

PLANS AND SPECIFICATIONS: The detailed working drawings and technical specifications necessary to guide the construction, determine the scope of the work, and provide a firm basis for competitive bidding and contractual obligations.

POLITICAL SUBDIVISION: A city, town, township, borough, county, parish, district, or other political unit created under authority of State law.

PROGRAM INCOME: Earnings by the grantee realized from the grant-supported activities. Such earnings exclude interest income and may include, but will not be limited to, income from service fees, sale of commodities, usage or rental fees, sale of assets purchased with grant funds, and royalties on patents and copyrights. Program income can be reported on a cash or accrued income basis.

PROJECT COSTS: All necessary charges made by a grantee in accomplishing the objectives of a project during the project period.

PROJECT PERIOD: The specified period of time covering the approved portions of a project during which all work must be accomplished.

PROJECT SPONSOR: See Participant.

PROJECT TYPES:

- A. Planning Project: The preparation by the State of the Statewide Comprehensive Outdoor Recreation Plan, or the subsequent updating of that plan.

PROJECT NUMBERING SYSTEM

1. Applicability. Each project, including projects proposed for the Secretary's Contingency Reserve Fund, shall be assigned a separate official Service number by the Regional Office, whether or not it is ultimately approved. Agreements, amendments, and all other documentation relating to a given proposal, including letters and memorandum, shall contain this number.
2. System for Numbering: A 7-digit system shall be used as follows:
 - A. First two digits: State Identification Number

01 - Ala.	15 - Hawaii	26 - Mich.	37 - N.C.	49 - Utah
02 - Alaska	16 - Idaho	27 - Minn.	38 - N.D.	50 - Vt.
04 - Ariz.	17 - Ill.	28 - Miss.	39 - Ohio	51 - Va.
05 - Ark.	18 - Ind.	29 - Mo.	40 - Okla.	53 - Wash.
06 - Calif.	19 - Iowa	30 - Mont.	41 - Oreg.	54 - W.V.
08 - Colo.	20 - Kans.	31 - Nebr.	42 - Pa.	55 - Wis.
09 - Conn.	21 - Ky.	32 - Nev.	44 - R.I.	56 - Wyo.
10 - Del.	22 - La.	33 - N.H.	45 - S.C.	60 - Am. Samoa
11 - D.C.	23 - Me.	34 - N.J.	46 - S.D.	66 - Guam
12 - Fla.	24 - Md.	35 - N.M.	47 - Tenn.	72 - P.R.
13 - Ga.	25 - Mass.	36 - N.Y.	48 - Tex.	78 - V.I.
69 - Northern Mariana Islands				
 - B. Next five digits: The Project Number is serially assigned in chronological order of receipt. This number shall also serve, after project approval, and in conjunction with the State Identification Number, as the project agreement number.
 - C. Amendment to Agreement: Amendment numbers shall be added immediately following the project number by using a decimal point and appropriate number (beginning with 1) in serial order.
3. Use of Numbering System: A project number shall be used only once and shall be the official method of identifying each project and related project documentation.
 - A. Immediately upon receipt of a project proposal, the Regional Office shall assign the 7-digit basic identification number consisting of the 2-digit State number, followed by (but separated by a dash) the 5-digit project number. These numbers shall be permanently affixed to the case file, and shall serve as a permanent reference number.
Example:

08-00004

State of	Fourth project
Colorado	proposal received
	from Colorado

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- B. Whenever the original project agreement is altered, the amendment number assigned to the executed amendatory document shall be serially increased.

Example:

08-00004.1

First Amendment

- C. Elements within a consolidated project shall be identified on the DNF Form by the State with a capital letter. Begin with the letter "A" and proceed through the alphabet as needed, except do not use the letter "O". If there are more than 25 elements continue numbering "A1", "B1" etc.

08-00004A First element approved within a consolidated project.

08-00004Z Twenty-fifth element approved within a consolidated project.

08-00004A1 Twenty-sixth element approved within a consolidated project.

L&WCF PROGRAM ANNUAL REPORT

1. Authority. Section 6(f)(7) of the Land and Water Conservation Fund Act of 1965, as amended, requires that each State evaluate its L&WCF grant program annually under guidelines set forth by the Secretary and to transmit such evaluation to the Secretary, together with a list of all projects funded during that fiscal year, including but not limited to, a description of each project, the source of other funds, and the estimated cost of completion of the project. The results of this evaluation are to be reported annually to the Service on a fiscal year basis. The Service, in turn, shall forward a summary of these reports to Congress. The annual report to Congress shall include an analysis of L&WCF grant, planning and other accomplishments during the reporting period, and may also include recommendations as to future improvements for the operation of the L&WCF program.
2. State Annual Report. The following guidelines have been prepared to assist the States in preparation of the Annual Report to Congress. The amount of data compilation by the States has been kept to a minimum in an effort to ensure that the preparation of this annual evaluation will not be an administrative burden on the States.

To further reduce paperwork burdens on States, all analytical information provided by States in Parts II or III of their annual L&WCF reports will be used to the fullest extent possible by the Service in its regular evaluations of State grants administration and planning processes (cf. Manual Parts 600.8 - Program Reviews and 630.1.6 - SCORP requirements).

- A. Part I - Project Review and Evaluation. To assist the States in the preparation of the required project listing, the Service will forward to each State Liaison Officer by November 15, a computer printout of all projects approved by the Service during the previous fiscal year. The printout will also indicate the total funds obligated to amendments during the same period and the number of amendments processed (see Attachment 600.7A).

Projects will be listed numerically with project name and include project sponsor, project type, coded list of the activities and facilities associated with the project, acres to be acquired, acquisition costs, and the amount of L&WCF assistance obligated to the project. States will review this project listing and supply corrections where appropriate, and will insert data on total project costs and the amount and source of other funds (Federal, State, local and donations) in the spaces provided on the printout.

- B. Part II - Program Analysis. Each State shall provide in concise narrative form, an evaluation of its L&WCF program during the preceding fiscal year. The evaluation shall include:

- (1) An indication of how projects approved during the year have contributed to meeting the priority needs, goals, and actions identified in the State's Comprehensive Outdoor Recreation Policy Plan and/or Action Program.

Each objective, goal or need identified as a high priority shall be stated briefly and followed by no more than one page of narrative, including statements indicating the number of projects and total Fund amount affecting each priority objective identified in the State plan and the type of recreation opportunities provided.

- (2) A table showing the levels of competition under the State's Open Project Selection Process during the fiscal year, and comparing the total number of applications or preapplications and total dollar amount (L&WCF shares) applied for with the number of grants and dollar amount actually awarded or committed (though not necessarily obligated) from L&WCF monies available to the State within the fiscal year.
- (3) A discussion of progress made in improving and implementing its Statewide Comprehensive Outdoor Recreation Planning (SCORP) program during the fiscal year, including:
 - (a) A status report on work items completed or in progress under the State's schedule for delivery of upcoming Policy Plan or Action Program submissions, including results of surveys, special studies or citizen participation efforts under the SCORP program.
 - (b) a report on adoption of new policies or other significant actions (other than L&WCF grant funding reported under (1), above) to implement priorities identified or recommended in the current SCORP, including legislative or financial initiatives, organizational, management or procedural improvements or other State actions that may improve outdoor recreation resources and opportunities.
 - (c) analysis of any other public or private actions influenced by the SCORP program, including significant uses of the SCORP by local governments, non-profit groups, private enterprises or individual citizens.

C. Part III - Optional. To further strengthen the Federal-State partnership under the Land and Water Conservation Fund program and to better enable the Service to assist the States in the conservation, development, and utilization of outdoor recreation resources, each State is encouraged to provide a supplement to its annual report. This supplement may be used to highlight other recent accomplishments or concerns expected to have a significant impact on outdoor recreation resources or needs within that State. The following items are suggested for possible discussion. However, this list is not all inclusive and may be expanded at State discretion:

- (1) Programs or issues related to meeting recreation needs at the local level.
- (2) Programs or issues related to meeting recreation needs of the handicapped, elderly and other minorities.

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- (3) Status of existing or proposed non-Federal financial or technical assistance programs such as State or local bond issues, dedicated revenues or advisory services.
 - (4) Impacts of national park, forest or fish and wildlife resources and programs on overall State objectives for outdoor recreation and efforts by State and Federal agencies to coordinate recreation resource responsibilities.
 - (5) Private sector roles in providing recreation opportunities within the State.
 - (6) State or local policy or management initiatives, including legislative or executive actions that will affect availability of outdoor recreation opportunities (e.g., State scenic river and trail programs, land use control measures, other conservation measures affecting recreation resources).
 - (7) States may also include statements of concerns or recommendations about future improvements in the operation of the L&WCF program. These may relate to either administrative or legislative issues. State concerns about needs for administrative improvements or legislative actions should be briefly stated and recommendations justified in terms of the problems to be solved.
3. State Submissions Each State shall submit three copies of its annual report to the appropriate Regional Office on or before December 31. Each Regional Office will review and summarize State reports, and prepare a regional summary to be included in the Service's report to Congress. These regional summaries and two copies of each State report must be transmitted to Washington Office by January 31 of each year.
4. Service Report. The Service shall transmit to Congress, by March 1 of each year, a report summarizing all State annual reports for the preceding fiscal year, including compiled, State-by-State listings of project funding activity during the reporting period. This report will also include an analysis of other Fund accomplishments and summarize proposed administrative or legislative recommendations by the States for improvements in the L&WCF program. Individual State reports and listings of projects funded during the fiscal year will be retained by the Service and be available for review upon request.
4. Matching Assistance. L&WCF planning grant assistance may be available to the States for the preparation and publication of their annual reports and evaluations. A separate planning project or an amendment to an existing planning project may be submitted in the normal manner in order to cover prospective costs, or such costs may be recouped through the State's existing method for indirect costs reimbursement. A State may wish to publish sufficient copies of its annual report for distribution to State legislators, governmental units and concerned citizens as a means of documenting grant and SCORP accomplishments and soliciting future input.

OPEN PROJECT SELECTION PROCESS

1. Purpose. The purpose of this chapter is to establish requirements for State open project selection processes that will better assure equal opportunity for all eligible project sponsors and all sectors of the general public to participate in the benefits of the Land and Water Conservation Fund (L&WCF) State Assistance Program, and that will enable States affirmatively to address priority recreation needs identified in State planning programs through L&WCF grant funding. Open project selection processes will perform two essential functions:
 - A. Establishment of public notification, application assistance and review systems that assure equitable opportunities for participation in grant funding by all potentially eligible applicants.
 - B. Provision of objective criteria and standards for grant selection that are explicitly based on each State's priority needs for parkland acquisition and outdoor recreation development as identified in Statewide Comprehensive Outdoor Recreation Plans (SCORP Policy Plans and Action Programs). While it is recognized that the SCORP process covers policy, legislative, management and other matters that go beyond priorities for capital funding, the open project selection process supplies the most visible connection between a State's planning efforts and its use of L&WCF grants to meet some of the high priority needs identified through its SCORP program.
2. Goals. The open project selection process developed by each State shall be designed to accomplish the following goals:
 - A. Provide for public knowledge of and participation in the formulation and application of the project selection process utilized by the State in allocating Land and Water Conservation Fund (L&WCF) assistance.
 - B. Ensure that all potential State and local applicants are aware of the availability of and process for obtaining L&WCF assistance, and provide opportunities for all eligible agencies to submit project applications and have them considered on an equitable basis.
 - C. Provide a measurable link, through published selection criteria, to the specific outdoor recreation needs and priorities identified in SCORP Policy Plans and Action Programs.
 - D. Assure that the distribution of Land and Water Conservation Fund assistance is accomplished in a non-discriminatory manner, especially with regard to minority populations, the elderly and the handicapped, and ensure a fair and equitable evaluation of all applications for L&WCF assistance.
3. Requirements for an Open Project Selection Process. Each State shall, as a condition of eligibility to receive assistance under the Fund program, implement an open project selection process which has the following components.

- A. Priority Rating System. Each State shall develop a priority rating system for ranking and selecting projects that ensures the fair and equitable evaluation of all projects and at a minimum:
- (1) Places the strongest possible emphasis on project selection criteria that conform directly to priority needs identified by the SCORP process. Because compatibility of projects funded with SCORP priorities is the primary measure of responsive planning and selection processes, SCORP-related criteria should be heavily-weighted in relation to non-SCORP factors to ensure that - a) the rank-ordering of projects closely reflects their response to plan-identified needs, and - b) no project without measurable links to SCORP-identified priorities will be funded.
 - (2) Encourages public participation in the formulation of grant proposals at the project sponsor level.
 - (3) Recognizes the need for accessibility of proposed projects, to the greatest extent practicable, to all segments of the public including minority populations (defined as including Blacks, Hispanics, Native Americans and Asian Americans), the elderly, and the handicapped.
 - (4) Requires conformance of the project to eligibility and evaluation criteria outlined in Parts 640 and 660 of this Manual.
- B. Project Selection Process. Each State shall develop a project selection process which evaluates and selects projects on the basis of quality as determined by their competitive merits under its priority rating system. The practice of dividing a State's apportionment between State and local projects may continue at the State's option. In this case, the State's project selection process may involve a single competition among all State and local projects or distinct processes and competitions for each of the two categories (i.e., State projects and local projects.) The distribution of a State's apportionment strictly on the basis of geography or location of political subdivisions is prohibited.
- C. Recurring Funding Cycle. Each State shall institute a recurring funding cycle to regularize the timing for receiving, evaluating and selecting project proposals. The funding cycle may recur quarterly, semi-annually, annually or at any other regular interval within the fiscal year as determined by the State. All L&WCF projects submitted to NPS for funding must have competed in such a selection cycle, and documentation of a project's ranking in a funding competition must be available in State files.
- D. Public Notification. Each State shall inform all potential project sponsors about the availability of program funding at least once every two years. This may be accomplished through direct contact with all potential sponsors or indirectly through State and local organizations. The information supplied shall include the types of areas and facilities eligible for funding, a statement of the State's

overall objectives for use of funds under the L&WCF grants program, guidance on how to apply for L&WCF assistance and an explanation of how the State's open project selection process works. Each State shall also publish or have available for review by project sponsors a list of the criteria it will use in selecting projects for priority funding during the current funding cycle.

- E. Program Assistance. Each State shall, to the extent practicable, provide assistance to any potential project sponsor who requests assistance with project formulation, proposal preparation in obtaining the non-federal matching share, and other matters necessary for participation with the program.
 - F. Affirmative Action. Each State shall take affirmative action to assure that good faith efforts are made to encourage projects which directly benefit minority populations in the State. This may be accomplished through the SCORP planning process, and shall, at a minimum, reflect efforts to encourage applications from communities with significant minority populations. Since social conditions vary from State to State, the design of the approach may be determined by each State.
 - G. Advisory Boards. The use of Advisory Boards, Commissions or Committees to assist States in the selection of proposals to receive the available L&WCF monies is encouraged but not required. If Advisory Boards, Commissions or Committees are utilized by a State, they must include in their membership representation of minorities to the extent that such representation reasonably reflects the ratio of the minority to the non-minority population of the State.
- 4. Public Participation. Public participation programs developed by each State in accordance with SCORP requirements (Part 630.1) shall include provisions for insuring that the preparation and revision of project selection processes and priority rating systems are subject to public review and comment (including minority participation in this process) prior to their implementation. Use of public meetings and review by special interest groups, advisory committees, and Park/Recreation Boards, Commissions, or Committees to assist in development of selection processes are encouraged.
 - 5. NPS Approval. States must utilize current and approved open project selection processes for selection of all applications proposed for funding through L&WCF grant monies appropriated by Congress after Fiscal Year 1982. New or revised open project selection processes must be submitted to the National Park Service for evaluation and approval before their use in State grant competitions.
 - 6. Process Review and Updating. To ensure continuing close ties between a State's SCORP program and its open project selection process, States must review project selection criteria being used each time that a new SCORP Policy Plan or Action Program is approved by the National Park Service. States must then submit to NPS a revised set of OPSP criteria that conform to any changes in SCORP priorities or submit an appropriate

certification that no such revisions are necessary. Regional Directors will evaluate such revised submissions or certifications in the same manner as original submissions, and will ensure accurate conformity to the SCORP and to the objectivity and public participation objectives of this chapter before approving their use for L&WCF project selection.

State implementation of open project selection processes will also be reviewed at least once in every two years, as part of the Service's periodic State program review process (cf., Chapter 600.8), to determine that each State is effectively meeting the goals and requirements of this chapter. Failure by any State to keep its selection process active and up-to-date in relation to changing needs or conditions identified through its SCORP program may result in that State's loss of eligibility for participation in the Land and Water Conservation Fund program (cf., Manual Chapter 630.1).

PAYMENTS

1. General. Grant payments will be made to States in a manner that minimizes the time elapsing between the disbursement by the State and the transfer of funds from the U.S. Treasury, whether such disbursement occurs prior to or subsequent to the transfer of funds. Grant payments are made through a letter of credit, an advance by Treasury check, or a reimbursement by Treasury check in accord with the guidelines of OMB Circular A-102 Attachments J and H and the U.S. Treasury Circular No. 1075.
2. Qualifications.
 - A. Letter of credit is the preferred method of payment for States which meet the following conditions:
 - (1) The State requests authorization from NPS for use of the letter of credit method of payment;
 - (2) The State has established or demonstrated to NPS the willingness and ability to establish procedures that will minimize the time elapsing between the transfer of funds and disbursement by the State;
 - (3) The State's financial management system meets the standards for fund control and accountability prescribed in OMB Circular A-102 Attachment G; and
 - (4) The Service has reviewed the State's financial practices and found them to be adequate based on the State's past letter of credit experience, responsiveness to audit exceptions, and internal audit procedures.
 - B. The letter of credit is not compulsory unless the total amount of advances and/or reimbursement needed by the State annually is \$120,000.00 or more. In cases where the State elects not to use the letter of credit, or where the State does not meet the conditions in paragraph 2A above, the Treasury check method will be used.

Once the State has adopted the letter of credit for reimbursement purposes it must utilize only this method unless rescinded by the Service.
3. Advanced Payment. An advance is a payment made to a State upon its request before cash outlays are made to the project sponsor or through the use of predetermined payment schedules before such payments are made to the project sponsor. Advances may be made through the Treasury check method or by use of a letter of credit (LOC-TFCS, Treasury Financial Communications System).

Due to the speed with which the LOC-TFCS allows for payment, NPS has determined that advances under the LOC-TFCS for L&WCF recipients are generally prohibited. However, NPS will consider the payment of advances on development projects where the matching share is non-cash, and on acquisition projects where funds must be available "up front" in order to prevent the loss of an available site to other interested buyers. Such advances using the LOC-TFCS must receive prior approval of the NPS Washington Office. The request should be submitted by the State to the Regional Office to initiate processing. Abuse of this policy on advance payments will result in revocation of a State's Letter of Credit. All approved advances must be promptly liquidated and the liquidation must be reported (on the TFS-5805 Supplemental Form described in Attachment E) to NPS within 30 days of the drawdown.

The timing of advances and the procedures to be observed to assure that cash withdrawals from the Treasury occur only as and when essential to meet the needs of the State for its actual disbursements in accord with Treasury Circular No. 1075 are described below:

- A. Advances to a State shall be limited to the minimum amounts needed and shall be timed to be in accord with only the actual cash requirements of the State in carrying out the purpose of the approved project.
 - B. Advances made by a State to a project sponsor shall conform substantially to the same standards of timing as indicated in paragraph 3A, above.
 - C. The State shall make such reviews of the financial practices of project sponsors as are necessary to insure against excessive withdrawals of cash from the Treasury and shall institute such remedial measures as may be necessary in the event of excessive withdrawals.
 - D. Any moneys advanced to the State are "public moneys" (owned by the Federal Government) and must be deposited in a bank with FDIC insurance coverage and the balances exceeding the FDIC coverage must be collaterally secure, in accord with OMB Circular A-102 Attachment A.
4. Reimbursement by Treasury Check. The State shall use the following forms in requesting reimbursement by Treasury Check:
- A. For planning projects the "Request for Advance or Reimbursement" (OMB 80-R0183, SF 270) (see attachment 675.6A).
 - B. For acquisition and development projects "The Outlay Report and Request for Reimbursement for Construction Programs" (OMB 80-R0181, SF 271) (see attachment 675.6F).

The State shall submit to WASO one (1) original and two (2) copies of the appropriate form when requesting reimbursement by Treasury Check. Such request may be submitted as necessary.

5. Advance by Treasury Check. In requesting an advance by Treasury check the States shall submit to the Service a "Request for Advance or Reimbursement" (OMB 80-R0183, SF 270) (see Attachment 675.6A).

One month after the advance has been received the State shall submit another "Request for Advance or Reimbursement" indicating expenditures made the previous month from the funds advanced. This form shall be used by the Service as a basis for liquidating obligations, reducing the advance account and making charges to the appropriate cost account.

No later than 15 working days after the end of each quarter, the State shall submit to the Service one (1) original and two (2) copies of the "Report of Federal Cash Transactions" (OMB 80-R0182) (see Attachment 675.6B). This report shall be used by the Service to monitor cash advanced and to obtain disbursement or outlay information for each project.

6. Letter of Credit for Reimbursement. A letter of credit (SF 1193A) (see Attachment 675.6D) is an instrument certified by the Service which authorizes a State to draw funds when needed from the U.S. Treasury in accordance with the Treasury Department regulations. Under a letter of credit authorization, the State submits "Request for Funds" (TFS 5805) (see Attachment 675.6E) directly to their financial institution which is authorized to process Letter of Credit Treasury Financial Communications System (LOC-TFCS) transactions. If the information provided is complete, a Request for Funds message is transmitted electronically by the State's financial institution via the Federal Reserve Communications System to the U.S. Treasury. If the request is approved for payment, the U.S. Treasury will wire funds for credit to the State's account at its financial institution.

- A. Relationship to the Project Agreement. A project agreement must be executed, received and posted by the Service before cash can be drawn against the letter of credit by the State. The letter of credit does not authorize these program costs; rather, it is a fiscal device which authorizes the State to draw cash to pay for the Federal share of program costs and the proportionate share of any allowable indirect costs.

By reference, the following paragraph becomes a part of each project agreement financed through a letter of credit:

"The State commits itself to (1) the practice of initiating cash drawdowns only when actually needed for its disbursements, (2) the timely reporting of cash disbursements and balances as required by

the Service, and (3) the imposition of the same standards of timing and amount upon any secondary recipients, including the furnishing of reports of cash disbursements and balances with the understanding that failure to adhere to these provisions may cause the unobligated portion of the letter of credit to be revoked by the Service or by the Department of the Treasury."

- B. Timing and Amount. To the extent possible each drawdowns shall be limited to the minimum amount necessary and shall be timed to be in accordance with immediate disbursement needs. However, cash drawdowns shall not ordinarily be made more frequently than daily or for amounts less than \$5,000, and in no case more than \$5,000,000 unless so stated on a letter of credit.

In general, the State should initiate each drawdown at approximately the same time that checks are issued in payment of program liabilities, including those for allowable indirect costs, and in an amount approximately equal to the Federal share of these payments. In order to take advantage of the float on checks the State, whenever possible, should delay drawdowns until after the checks issued for disbursements have been sent to the payee.

- C. Return of Excessive Funds and Earned Interest. When it is determined by the Service or Department of the Treasury that the State is holding Federal funds in excess of its immediate cash needs, the State will be notified by the Service that such funds be returned immediately. Any interest which may have earned on those excessive funds by the State shall be returned promptly to the Service unless specially prohibited by law.
- D. Default Provisions.

(1) Any of the following events shall constitute default:

- (a) termination of the grant by reason of fault of the State;
- (b) failure by the State to observe any of the covenants, conditions or warranties of the letter of credit or grant provisions;
- (c) failure by the State to make progress on the grant;
- (d) unsatisfactory financial conditions by the State which endanger the performance of the grant;
- (e) allocation of inventory to the grant by the State substantially exceeding reasonable requirements;
- (f) delinquency by the State in payment of taxes or of the costs of performance of the grant in the ordinary course of business;

- (g) appointment of a trustee, receiver or liquidator for all or a substantial part of the State's property, or institution of bankruptcy, reorganization arrangement or liquidation proceedings by or against the State;
 - (h) service of any written attachment, levy of execution, or commencement of garnishment proceedings with respect to the letter of credit procedures; or
 - (i) the commission of an act of bankruptcy.
- (2) Upon the occurrence of any of the above conditions, the Service may, upon written notice to the State, withhold further drawdowns from the letter of credit and withhold further payments on the particular project upon the continuance of any such events of default for a period of thirty (30) days. After such written notice to the State, the Service may take the following additional actions as appropriate:
- (a) Revoke all or any part of the balance of the letter of credit;
 - (b) Charge interest on advance payments outstanding during the period of any such default at the rate established by the Secretary of the Treasury pursuant to Public Law 92-41, 85 Stat. 97 for the Renegotiation Board;
 - (c) Demand immediate repayment of the unliquidated balance of advance payments; or
 - (d) Take possession of and, with or without advertisement, sell at public sale (at which the Government may be the purchaser), or at a private sale, all or any part of the property on which the Service has a lien under the Project. After deducting any expenses incident to such sale, the Service may apply the net proceeds of such sale in reduction of the unliquidated balance of advance payments and in reduction of any other claims of the Service against the State.
- (3) The Regional Director or designee can at any time notify the Washington Office of NPS to put a hold on a letter of credit if, through their findings, it has been determined that a State is not complying with program regulations, guidelines, or instructions issued by the Region. The individual designated as a contact in Washington will immediately notify the Treasury by phone to stop all withdrawals until further notice. The telephone call will be backed up by a letter and the reverse procedure will take place when the Washington Office is notified to lift the hold.

- E. No interest shall be charged for advance payments, except interest during a period of default. The State shall charge interest at the rate established by the Secretary of the Treasury pursuant to Public Law 92-41, 85 Stat. 97, for the Renegotiation Board on subadvances or down payments to subgrantees and such interest will be credited to the account of the Government.
- F. Required Forms. The following forms are required to operate the letter of credit system:
- (1) Authorized Signature Card. The letter of credit method of financing is initiated by the State executing a signature card (SF 1194) (see Attachment 675.6C and 675.7 C-1).
 - (2) Letter of Credit (SF 193A). A Letter of Credit is an instrument prepared and certified by the Service which authorizes a State to draw funds when needed to pay for the Federal share of program disbursements. (see Attachment 675.6D). A duplicate copy of this form will be sent to the State by the Service.
 - (3) Request for Funds (TFS-5805) and Classification of Amount Requested (NPS Supplement to TFS-5805 for the L&WCF Program). TFS 5805 shall be prepared with copies submitted to the State financial institution, appropriate NPS Regional Director, and NPS Finance Division (see address, Attachment E) each time a drawdown is necessary to meet immediate disbursement needs. A Classification of Amount Requested Supplement (Attachment E-1) shall be attached to each TFS-5805 submitted to the NPS Regional Director and to the NPS Finance Division listing each grant by cost element for which a drawdown is anticipated to support actual disbursement. The total of all amounts listed on the Classification Supplement shall equal the total dollar amount indicated on the TFS-5805, item 7. (see TFS-5805 Copy Distribution, Attachment 675.6E).
- G. Review of Drawdowns. At least monthly, the Service shall review each State's drawdowns and disbursements for reasonableness of cash balances on hand and the timing of drawdowns. The review shall also cover other financial practices of each State to ensure against excessive withdrawals of Federal funds.

In the event the Service determines a State is making excessive withdrawals of cash, remedial measures such as changing the terms of the Letter of Credit, changing the conditions of drawdowns, or requesting immediate refund of excessive funds to the Service shall be taken to ensure proper use of Federal funds. The only exceptions to the requirement that funds be promptly refunded are when the funds involved 1) will be disbursed by the State within seven calendar days, or 2) are less than \$10,000 and will be disbursed within 30 calendar days.

7. Letter of Credit for Advance Purposes. The procedures for the use of the letter of credit for advance purposes are:
- (1) Advance under the Letter of Credit must be requested on a TFS-5805 and Classification Supplement separate from reimbursement requests.
 - (2) For each advance, on the Classification Supplement leave a space after the project or element number and type ADV (in caps) (See Attachment 675.6E).
 - (3) When all or a portion of the advance is disbursed, this amount must be applied to reduce the advance and make charges to the appropriate project. When a sum is being applied to an advance, indicate such in the remarks section at the bottom of the Classification Supplement. Also, indicate the project number and/or element number and amount and type APPL (in caps).

Standard Form 1194 1. TFRM 6-2000 Fiscal Service Bureau of Accounts <u>1.</u>	AUTHORIZED SIGNATURE CARD FOR PAYMENT VOUCHERS ON LETTER OF CREDIT	Letter of Credit Number <u>2.</u>
Letter of Credit Issued in Favor of (Recipient) <u>4.</u>		Federal Reserve Bank <u>3.</u>
SIGNATURES OF INDIVIDUALS AUTHORIZED TO DRAW ON THE CITED LETTER OF CREDIT <u>6.</u>		<input type="checkbox"/> ONLY ONE SIGNATURE REQUIRED ON PAYMENT VOUCHERS or <input type="checkbox"/> ANY TWO SIGNATURES REQUIRED TO SIGN OR COUNTERSIGN
Typed Name and Signature <u>7.</u>	Typed Name and Signature <u>7.</u>	
Typed Name and Signature <u>7.</u>	Typed Name and Signature <u>7.</u>	
I CERTIFY THAT THE SIGNATURES ABOVE ARE OF THE INDIVIDUALS AUTHORIZED TO DRAW PAYMENT VOUCHERS FOR THE CITED LETTER OF CREDIT. <u>8.</u> DATE AND SIGNATURE OF AUTHORIZING OFFICIAL (Recipient)	APPROVED: <u>9.</u> DATE AND SIGNATURE OF AGENCY CERTIFYING OFFICER	

1194-101

☆ U.S. GOVERNMENT PRINTING OFFICE: 1982 O-341-526 (7614)

SAMPLE (completed) SIGNATURE CARD

Standard Form 1194 1. TFRM 6-2000 Fiscal Service Bureau of Accounts Effective Date: 6/1/85	AUTHORIZED SIGNATURE CARD FOR PAYMENT VOUCHERS ON LETTER OF CREDIT	Letter of Credit Number 00-00-0000
Letter of Credit Issued in Favor of (Recipient) Anywhere Department of Parks and Recreation 1 Main Street Capitol City, Anywhere 00000		Federal Reserve Bank For TFCS Payment Only
Letter of Credit Issued in Favor of (Recipient) Anywhere Department of Parks and Recreation 1 Main Street Capitol City, Anywhere 00000		Issued by (Federal Agency) U.S. Department of the Interior National Park Service P.O. Box 37127; Washington, D.C. 20013
SIGNATURES OF INDIVIDUALS AUTHORIZED TO DRAW ON THE CITED LETTER OF CREDIT		<input checked="" type="checkbox"/> ONLY ONE SIGNATURE REQUIRED ON PAYMENT VOUCHERS or <input type="checkbox"/> ANY TWO SIGNATURES REQUIRED TO SIGN OR COUNTERSIGN
Typed Name and Signature JOAN Q. PUBLIC <i>Joan Q. Public</i>	Typed Name and Signature KENNETH CASH <i>Kenneth Cash</i>	
Typed Name and Signature -----	Typed Name and Signature -----	
I CERTIFY THAT THE SIGNATURES ABOVE ARE OF THE INDIVIDUALS AUTHORIZED TO DRAW PAYMENT VOUCHERS FOR THE CITED LETTER OF CREDIT. RAYMOND A. OFFICIAL <i>Ray Official</i> <u>5/1/85</u> DATE AND SIGNATURE OF AUTHORIZING OFFICIAL (Recipient)	APPROVED: ----- DATE AND SIGNATURE OF AGENCY CERTIFYING OFFICER	

1194-101

☆ U.S. GOVERNMENT PRINTING OFFICE: 1982 O-341-526 (7614)

MANUAL RELEASE 143

REPLACES: MR 140 3/22/83

SAMPLE REVERSE SIDE OF SIGNATURE CARD

Financial Institution Contact:	Ms. Rita T. Morgan, EFT Officer National Bank and Trust 1000 Oak Street Capitol City, Anywhere 00000 (444) 555-0000 .
Account Number:	00-11-22-3
ABA Number:	123456789
Telegraphic Abbreviation of Transmitting Finan. Inst:	NBT
ABA Number of Correspondent:	SAME

INSTRUCTIONS FOR REVERSE SIDE OF SF-1194

The State organization is required to provide the following information on the reverse side of one SF-1194:

- A. The full name, title, address, and telephone number (including area code) of the contact person at the financial institution to whom the U.S. Treasury should forward the certified SF-1194.
- B. The State organization's account number at the financial institution.
- C. The American Bankers Association (ABA) nine-digit wire transfer routing number for the financial institution or correspondent transmitting the funds request message through FEDWIRE.
- D. The telegraphic abbreviation of the transmitting financial institution.
- E. The financial institution's nine-digit ABA wire transfer routing number if a correspondent is used to transmit the funds request message, or the word "SAME" if the State organization's financial institution is the transmitting facility.

SF-1194, AUTHORIZED SIGNATURE CARD FOR PAYMENT VOUCHERS ON LETTER OF CREDITGeneral Information.

An SF-1194, "Authorized Signature Card for Payment Vouchers on Letter of Credit" (refer to samples included with this attachment), must be on file at the State organization's financial institution before a TFS Form 5805, "Request for Funds", will be honored. Recipient organizations must, therefore, adhere to the following guidelines:

- A. The State organization will prepare and submit three (3) completed original SF-1194's to the appropriate NPS Regional Office. All entries on the form, including signatures, must be in black ink.
- B. An official of the State organization who has authority to designate the official(s) who may sign the TFS-5805 ("Request for Funds") must certify the authenticity of the signature(s) appearing on the signature card (SF-1194) in space 8 of the card.
- C. One or more officials should be designated as authorized alternates to sign TFS-5805 to provide for cases of absence of the principal official. State organizations should, however, limit the authority to draw to the smallest practical number of officials.
- D. The U.S. Treasury requires only one signature on the TFS-5805; the State organization may, however, use one countersignature.
- E. A complete new set (three) of SF-1194's shall be submitted to the NPS Regional Office immediately should any of the following occur:
 - 1. Change and/or termination of official(s) authorized to sign the TFS-5805.
 - 2. Change in the name of the recipient organization.
 - 3. Change of financial institution.

An additional set of SF-1194's is required if more than four (4) officials are authorized to sign the TFS-5805. A change in position or title of an official does not, by itself, require a new signature card. Facsimile signatures are not acceptable.

SPECIFIC L&WCF INSTRUCTIONS FOR COMPLETION OF SF-1194 (numbered in accordance with sample form).

- 1. Standard Form 1194. Leave blank on initial cards submitted to NPS. On subsequent changes, enter "Effective Date" and date.
- 2. Letter of Credit (LOC) Number. The letter of credit number is assigned by NPS. For subsequent signature changes, insert the LOC number shown in the "Letter of Credit Number" block on the Letter of Credit, SF-1193A.

3. Federal Reserve Bank. Line out "Federal Reserve Bank" and enter "For TFCS Payment Only."

4. Letter of Credit Issued in Favor of (Recipient). Enter name and address of recipient State agency.

5. Issued by. Enter: U.S. Dept. of the Interior
National Park Service
P.O. Box 37127
Washington, D.C. 20013-7127

6. Signatures of Individuals Authorized to Draw on the Cited Letter of Credit. An "X" in the first block authorizes any one of the officials in block 7 to sign TFS-5805. An "X" in the second block indicates the requirement of a countersignature.

7. Typed Name and Signature. Type name(s) and include original signature(s) of person(s) authorized to sign and/or countersign TFS-5805. Erasures, strikeovers, correction tape, fluid, etc., are not acceptable. To assure that unauthorized names are not added, it is advised that a line be typed or drawn through unused signature spaces.

8. Typed Name and Signature of Authorizing Official. Type name and date and include original signature of authorizing official who has been delegated authority to approve the person(s) designated to sign TFS-5805. The authorizing official must sign and date each card submitted. If the authorizing official will also sign the TFS-5805, his/her name and signature will also appear in a block in item 7.

9. Approved. Leave blank. To be completed by the responsible NPS official approving the TFCS Letter of Credit.

SAMPLE (blank) REQUEST FOR FUNDS - TFS 5805

REQUEST FOR FUNDS				FOR COMMERCIAL BANK USE ONLY	
SECTION I - MESSAGE FORMAT				<input type="checkbox"/> PAID <div style="text-align: right;">DATE _____</div> <input type="checkbox"/> REJECTED DUE TO:	
<div style="display: flex; justify-content: space-between;"> <div> 1. ← → </div> <div> 2. ← 3. </div> </div>					
TO 021030003	TYPE 1031	FROM 4. 5/6	AMOUNT 7. \$	SPECIAL HANDLING INSTRUCTIONS REQUEST FOR FUNDS 8.	
SENDER 9.		RO BANK 9.		10.	
RECEIVER 11. YSO	PPA 12. PPA	LCN 13.	ACH 14.	RON 15.	RON 16. / 8
TREAS NYC / 1		THIRD PARTY INFORMATION 19.		20.	
20.					
20.					
SECTION II - CERTIFICATION (Must Be Completed By Drawer)					
<small>I certify that this Request for Funds has been drawn in accordance with the terms and conditions of the Letter of Credit cited and that the amount for which drawn is proper for payment to the account of the drawer at the drawer's bank. I also certify that the data reported is correct and that the amount of the Request for Funds is not in excess of immediate disbursement needs.</small>					
DATE 21.		SIGNATURE 22.		TITLE 23.	
DATE 21.		COUNTERSIGNATURE 22.		TITLE 23.	
ORIGINAL-SUBMIT TO COMMERCIAL BANK					

TFS FORM 5805a EDITION OF 11-78, IS OBSOLETE

DEPARTMENT OF THE TREASURY-FISCAL SERVICE
BUREAU OF GOVERNMENT FINANCIAL OPERATIONS
U. S. GOVERNMENT PRINTING OFFICE: 1980-480-212/509

SAMPLE (completed) REQUEST FOR FUNDS

REQUEST FOR FUNDS				FOR COMMERCIAL BANK USE ONLY	
SECTION I - MESSAGE FORMAT				<input type="checkbox"/> PAID <div style="text-align: right;">DATE _____</div> <input type="checkbox"/> REJECTED DUE TO:	
TO 021030004	TYPE 1031	FROM 123456789	AMOUNT \$ 150,000.00	SPECIAL HANDLING INSTRUCTIONS REQUEST FOR FUNDS	
SENDER NBT		RO BANK SAME		10.	
RECEIVER YSO	PPA	LCN	ACH	RON 006/8	RON -0-
TREAS NYC / 300		14108703 / 000000000 / 0011223		/ 060185 /	
RON		THIRD PARTY INFORMATION Anywhere Dept. of Parks & Rec. /			
-LEAVE BLANK-					
SECTION II - CERTIFICATION (Must Be Completed By Drawer)					
<small>I certify that this Request for Funds has been drawn in accordance with the terms and conditions of the Letter of Credit cited and that the amount for which drawn is proper for payment to the account of the drawer at the drawer's bank. I also certify that the data reported is correct and that the amount of the Request for Funds is not in excess of immediate disbursement needs.</small>					
DATE July 1, 1985		SIGNATURE <i>Joan Q. Public</i>		TITLE State Accounts Officer	
DATE		COUNTERSIGNATURE N/A		TITLE	
ORIGINAL-SUBMIT TO COMMERCIAL BANK					

TFS FORM 5805a EDITION OF 11-78, IS OBSOLETE

DEPARTMENT OF THE TREASURY-FISCAL SERVICE
BUREAU OF GOVERNMENT FINANCIAL OPERATIONS
U. S. GOVERNMENT PRINTING OFFICE: 1980-480-212/509

TFS-5805 - REQUEST FOR FUNDS

The following is an explanation of information to be included in preparing the TFS-5805, "Request for Funds."

General Information.

The TFS-5805 must be prepared with no corrections or erasures. Do not use hyphens in preparing the form. All amounts shown shall represent the Federal share of project cost. Blank and sample completed copies of both forms are included with this attachment. All entries on this form, including signatures, must be in black ink.

Procedures for Drawing Federal Funds.

The State organization shall request funds by presenting a completed and signed TFS-5805 to its financial institution ("third party" information on the supplemental form is for attachment to NPS' copies of TFS-5805). If the request for funds message is rejected, the U.S. Treasury will transmit a rejection message electronically by no later than the workday following the request. The message will indicate the reason(s) for the rejection. Refer to Attachment G for further details on rejections.

SPECIFIC INSTRUCTIONS FOR COMPLETING TFS-5805 (numbered in accordance with sample form).Section I - Message Format

1. PC (PRIORITY CODE). This block is not completed by the State organization.
2. TO. This preprinted block identifies the routing symbol of the U.S. Treasury.
3. TYPE. This preprinted block identifies the message as a request for funds.
4. FROM. Enter the nine-digit wire transfer routing number of the sending financial institution as shown on the Letter of Credit, SF-1193A, item (9d).
5. CL (CLASS). This item is not completed by the State organization.
6. REF (REFERENCE NUMBER). Leave blank. This item is completed by the financial institution transmitting the message.
7. AMOUNT. Enter the total dollar amount of Federal funds requested. This amount must be properly punctuated to include the cents digits. Requests shall not ordinarily be in amounts less than \$5,000 or more than \$5,000,000.
8. SPECIAL HANDLING. This block is preprinted, indicating the purpose of the message.
9. SENDER. Enter the telegraphic abbreviation of the sending financial institution as shown on the Letter of Credit, SF-1193A, item (9e).

10. RO BANK (Recipient Organization's Financial Institution). If the State organization's financial institution is not the sending financial institution (i.e., the sending financial institution is acting as a correspondent bank for the State organization's financial institution), the State organization enters the nine-digit wire transfer routing number of its financial institution as shown on the SF-1193A (item 9f). If the State organization's financial institution is the sending financial institution, enter the word "SAME" in this field.

11. RECEIVER. This block is preprinted.

12. TDO (Agency Location Code of Treasury Disbursing Office). If not preprinted, enter the three digit code ("300" until further notice) as shown on the Letter of Credit, SF-1193A, item (6). This code must be enclosed in parentheses. It is used to identify the servicing Treasury Disbursing Center.

13. FPA (Federal Program Agency location code). Enter the National Park Service Agency Station Symbol ("14078701") until further notice).

14. LCN (LOC number). Enter the eight-digit number as shown on the SF-1193A, item (2).

15. ACN (Financial Institution's Account Number). Enter the account number at the financial institution to be credited with the funds requested as shown on the Letter of Credit, SF-1193A, item (9c).

16. RQN (Request Number). TFS Forms 5805 are to be numbered consecutively starting with "001" for the initial request. If a TFS-5805 is rejected, the next form is assigned the next consecutive number.

17. BOH (Balance on Hand). Enter the total amount, to the nearest dollar, of Federal funds on hand at the time of submission of the applicable TFS-5805. This amount must include commas and should not exceed eleven (11) positions. Round figures to the nearest dollar. Except where NPS has authorized an advance, there should be a "-0-" (zero) balance on hand.

18. DLR (Date of Last Request). Enter the date on which the preceding TFS Form 5805 was submitted for payment. Enter in a "MM DD YY" format. For example, June 1, 1985, is entered as 060185.

19. RON (Recipient Organization Name). Enter recipient (State) organization name as shown in the "Treasury Checks To Be Made Payable To" block on the Letter of Credit, SF-1193A, item (9b).

20. THIRD PARTY INFORMATION. Leave blank and provide grant data and any remarks on the supplemental "Classification of Amount Requested" Form. (See instructions which follow for completing this report.)

Section II - Certification

21. DATE. Enter the date the TFS-5805 is signed and, in the space below, the date of the countersignature, if applicable.

22. SIGNATURE/COUNTERSIGNATURE. A representative(s) authorized (on the SF-1194 on file at the State organization's financial institution) to sign TFS-5805 manually signs the Request for Funds document.

23. TITLE. Enter the title(s) of the individual(s) signing the TFS-5805.

TFS-5805 Copy Distribution. Copies of TFS-5805 are distributed as follows:

- The original (copy a) and first duplicate (copy b) will be presented to the financial institution as early in the day as possible.
- Copy c is to be forwarded to the appropriate NPS Regional Office along with the supplemental form providing third party information.
- Copy d is to be forwarded to the NPS Finance Division, along with the supplemental form, to the following address:

Finance Division (310)
U.S. Department of the Interior
National Park Service
P. O. Box 37127
Washington, D.C. 20013-7127

- Copy e will be retained by the State organization.

CLASSIFICATION OF AMOUNT REQUESTED
(NPS Supplement to TFS-5805 for the L&WCF Program)

State: Anywhere Request #: 006 Date: July 1, 1985

GRANT NO.	AMOUNT	GRANT NO. (CONTINUED)	AMOUNT
00-00515 (4F)	\$ 20,000.00	00-00715 (1F)	\$ 10,000.00
00-00612C (1F)	10,000.00	00-00716 (3F)	10,000.00
00-00612E (5P)	4,000.00	00-00722 (2P)	5,000.00
90-00633 (9P)	5,999.49		
00-00635 (2F)	10,000.00		
00-00667 (1P)	5,000.00		
00-00672 (4P)	5,000.00		
00-00674 (2P)	5,000.00		
00-00677 (ADJ)	(5,000.00)		
00-00678 (8P)	5,000.00		
00-00701 (3F)	5,000.00		
00-00706J (2P)	10,000.00		
00-00709 (1F)	10,000.51		
00-00710 (2F)	10,000.00		
00-00713 (5P)	10,000.00		
00-00714A (1P)	10,000.00		
TOTAL (must be same as amt. on TFS-5805 item 7)		\$ 150,000.00	

REMARKS

00-00677: Payment on Bill for Collection No. BC0000-0-1234.

CLASSIFICATION OF AMOUNT REQUESTED (NPS SUPPLEMENT TO TFS-5805 FOR THE L&WCF PROGRAM).

The Classification of Amount Requested serves as a supplement to TFS-5805, "Request for Funds", for benefit of NPS. Information appearing on this form represents the "third party information" referred to on TFS-5805 (item 20 on the sample form) and is for the benefit of NPS (the "third party").

General Information.

All amounts shown on this form represent the Federal share of project cost. The complete money amount (including the cents figure) must be used in preparing this form. This report must be submitted to NPS with every TFS-5805 copy but need not be submitted with the financial institution's copies.

SPECIFIC INSTRUCTIONS FOR COMPLETING THE CLASSIFICATION OF AMOUNT REQUESTED FORM.

STATE. Enter State.

REQUEST NO. Enter the number of the request. (Must be the same as item no. 16 on TFS-5805).

DATE. Enter date appearing in the first line of item 21 of TFS-5805.

In the space provided, list each project (grant) identification number applicable to the request and the amount of the request that applies to each project. Following the grant number, enter (in parentheses) the appropriate sequential payment number for the grant and "P" (for "partial") for payments which leave an outstanding balance for the applicable project. When the final payment is requested for a particular project, enter the appropriate sequential payment number and "F" (for "final") after the grant number. If, for grants previously paid in final, adjustments in the final amount are required, enter "ADJ" in parentheses following the grant number. (examples: the first partial payment would be "1P" while the fifth and final payment would be "5F".) If adjustments on prior payments for specific grants (as a result of overpayments and payments on Bills for Collection, for example) are being accomplished, the amount must be enclosed in parentheses and an explanation must appear in the "Remarks" section. For adjustments reflecting amounts due on Bills for Collection such as those issued to recover disallowed costs, the Bill number should be noted. The total (net) of all amounts in this section must equal the amount requested on TFS-5805 (item 7). The form has space for itemizing up to 32 grants. For consolidated grants, itemize by element and include element letter with the grant number. A sample completed supplemental form is included with this attachment.

The Remarks section may be used for any appropriate comments which clarify the request. All adjustments, such as refunds of prior overpayments and payments on Bills for Collection issued for audit recoveries or other reasons, must be explained here (cite specific grant numbers which show amounts appearing in parentheses). If an approved advance has been drawdown, this should be so noted. Liquidation (applying) of an advance must also be noted in the Remarks section.

If the 1031 message is rejected solely due to the transmission of incorrect information by the sending financial institution, but the information has been provided correctly by the State organization on the TFS Form 5805, the sending financial institution shall obtain the correct information and transmit a correct 1031 message as soon as possible. The correct 1031 message shall bear the same request number as the original 1031 message.

If the 1031 message is rejected solely due to reason(s) other than the transmission of incorrect information by the sending financial institution, the State organization's financial institution checks the block indicating rejection and enters the reason(s) for rejection and the date on copies a&b of the TFS Form 5805. The State organization's financial institution then forwards the duplicate of the rejected TFS Form 5805 to the recipient organization and retains the original for its records. The State organization's financial institution shall immediately notify the State organization by telephone of the rejection and the reason(s) therefore.

REJECTION OF A REQUEST FOR FUNDS

If a request for funds message (1031) using the TFS-5805 form is rejected for payment by the Treasury Department, an electronic rejection message (1033) will be transmitted to the recipient organization's financial institution by no later than the workday following Treasury receipt of the message. The rejection message (1033) will indicate the reason(s) that the request was not honored. The information detailed below explains the coded messages that appear on rejection messages.

EXPLANATION OF REASONS FOR REJECTION OF REQUESTS FOR FUNDS.

1. SEND BANK UNAUTH FOR RO. The sending financial institution's nine-digit ABA wire transfer routing number as entered on TFS-5805 (refer to item 4 on the sample in Attachment E) is not the same as the number shown on the LOC.
2. INVALID AMOUNT. The amount requested (item 7 on TFS-5805) is not numeric, does not include the dollar sign and cents digits, and/or is improperly punctuated.
3. DC ALC INVALID. The Treasury Disbursing Office's Agency Location Code (item 12 on TFS-5805) does not service the letter of credit number designated.
4. NPS ALC INVALID. NPS' Agency Location Code (item 13 on TFS-5805) is incorrect.
5. LCN INVALID. The letter of credit number (item 14 on TFS-5805) is incorrect.
6. ACN INVALID. The account number at the recipient's financial institution does not agree with the ACN appearing on the letter of credit.
7. RECD BANK FORMAT INVALID. The telegraphic abbreviation of the receiving Treasury Office (item 11 of TFS-5805) and/or the Treasury Disbursing Office Agency Location Code (item 12 of TFS-5805) do not conform to message format requirements.
8. LOC DATE NOT EFFECTIVE. The letter of credit number effective data as shown on the certified LOC on file with the Treasury Disbursing Office does not allow acceptance of the request for funds.
9. LCN REVOKED/SUSPENDED. The LOC number has been revoked or suspended.
10. SENDING BANK NAME INCORR. The sending financial institution name as certified on the letter of credit is not authorized to request funds.
11. RO BANK ID INVALID. The recipient organization's financial institution name does not agree with the information provided on the certified LOC.
12. AMT REQ EXCEED AVAIL BAL. The amount requested exceeds the available balance of funds for the applicable letter of credit.
13. UNAUTH AMOUNT. The amount requested is less than the minimum (\$5,000) or exceeds the maximum (\$5,000,000) amount authorized for an individual payment.

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